

05-30-01

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Approved for use through 10/31/2002, OMB 0651-0032

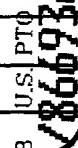
U.S. Patent and Trademark Office; U.S. DEPARTMENT OF COMMERCE

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PTO/SB/05 (11-00)

UTILITY PATENT APPLICATION TRANSMITTAL

(Only for new nonprovisional applications under 37 CFR 1.53(b))

Attorney Docket No. **Kalotay-1**First Inventor **Yang et al.**Title **Hedge Effectiveness Test**Express Mail Label No. **EL857158161US**

05/29/01

APPLICATION ELEMENTS

See MPEP chapter 600 concerning utility patent application contents.

1. Fee Transmittal Form (e.g., PTO/SB/17)
(Submit an original and a duplicate for fee processing)
2. Applicant claims small entity status.
See 37 CFR 1.27.
3. Specification [Total Pages **17**]
(preferred arrangement set forth below)
 - Descriptive title of the invention
 - Cross Reference to Related Applications
 - Statement Regarding Fed sponsored R & D
 - Reference to sequence listing, a table, or a computer program listing appendix
 - Background of the Invention
 - Brief Summary of the Invention
 - Brief Description of the Drawings (if filed)
 - Detailed Description
 - Claim(s)
 - Abstract of the Disclosure
4. Drawing(s) (35 U.S.C. 113) [Total Sheets **4**]
5. Oath or Declaration [Total Pages **4**]
 - a. Newly executed (original or copy)
 - b. Copy from a prior application (37 CFR 1.63(d))
(for continuation/divisional with Box 18 completed)
 - i. **DELETION OF INVENTOR(S)**
Signed statement attached deleting inventor(s) named in the prior application, see 37 CFR 1.63(d)(2) and 1.33(b).
6. Application Data Sheet. See 37 CFR 1.76

ADDRESS TO: Assistant Commissioner for Patents
Box Patent Application
Washington, DC 20231

7. CD-ROM or CD-R in duplicate, large table or Computer Program (Appendix)
8. Nucleotide and/or Amino Acid Sequence Submission (if applicable, all necessary)
 - a. Computer Readable Form (CRF)
 - b. Specification Sequence Listing on:
 - i. CD-ROM or CD-R (2 copies); or
 - ii. paper
 - c. Statements verifying identity of above copies.

ACCOMPANYING APPLICATION PARTS

9. Assignment Papers (cover sheet & document(s))
10. 37 CFR 3.73(b) Statement Power of (when there is an assignee) Attorney
11. English Translation Document (if applicable)
12. Information Disclosure Statement (IDS)/PTO-1449 Copies of IDS Citations
13. Preliminary Amendment
14. Return Receipt Postcard (MPEP 503)
(Should be specifically itemized)
15. Certified Copy of Priority Document(s) (if foreign priority is claimed)
16. Request and Certification under 35 U.S.C. 122 (b)(2)(B)(i). Applicant must attach form PTO/SB/35 or its equivalent.
17. Other: **Express mail certificate; check**

18. If a CONTINUING APPLICATION, check appropriate box, and supply the requisite information below and in a preliminary amendment, or in an Application Data Sheet under 37 CFR 1.76:

 Continuation Divisional Continuation-in-part (CIP)
of prior application No. **/**

Prior application information.

Examiner Group Art Unit:

For CONTINUATION OR DIVISIONAL APPS only: The entire disclosure of the prior application, from which an oath or declaration is supplied under Box 5b, is considered a part of the disclosure of the accompanying continuation or divisional application and is hereby incorporated by reference. The incorporation can only be relied upon when a portion has been inadvertently omitted from the submitted application parts.

19. CORRESPONDENCE ADDRESS

<input type="checkbox"/> Customer Number or Bar Code Label	(Insert Customer No. or Attach bar code label here)		or	<input type="checkbox"/> Correspondence address below	
Name	Arthur L. Plevy, Esq.				
Address	Duane, Morris & Heckscher LLP 100 College Road West, Suite 100				
City	Princeton	State	New Jersey	Zip Code	08540
Country	US	Telephone	609-919-4402	Fax	609-919-4401

Name (Print/Type)	Carl A. Giordano		Registration No. (Attorney/Agent)	41,780
Signature			Date	May 29, 2001

Burden Hour Statement: This form is estimated to take 0.2 hours to complete. Time will vary depending upon the needs of the individual case. Any comments on the amount of time you are required to complete this form should be sent to the Chief Information Officer, U.S. Patent and Trademark Office, Washington, DC 20231. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO: Assistant Commissioner for Patents, Box Patent Application, Washington, DC 20231.

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FEE TRANSMITTAL for FY 2001

Patent fees are subject to annual revision.

TOTAL AMOUNT OF PAYMENT (\$818.00)

Complete if Known

Application Number	Herewith
Filing Date	Herewith
First Named Inventor	Yang et al.
Examiner Name	TBA
Group Art Unit	TBA
Attorney Docket No.	Kalotay-1

METHOD OF PAYMENT

1. The Commissioner is hereby authorized to charge indicated fees and credit any overpayments to:

Deposit Account Number **04-1679**
 Deposit Account Name

Charge Any Additional Fee Required
Under 37 CFR 1.16 and 1.17

Applicant claims small entity status.
See 37 CFR 1.27

2. Payment Enclosed:

Check Credit card Money Order Other

FEE CALCULATION

1. BASIC FILING FEE

Large Entity Fee Code (\$)	Small Entity Fee Code (\$)	Fee Description	Fee Paid
101	710	201	355
106	320	206	160
107	490	207	245
108	710	208	355
114	150	214	75
SUBTOTAL (1)		(\$)	710.00

2. EXTRA CLAIM FEES

Total Claims	Extra Claims	Fee from below	Fee Paid
26	-20** = 6	X 18.00	= 108.00
Independent Claims	- 3** =	X	=
Multiple Dependent			=

Large Entity Fee Code (\$)	Small Entity Fee Code (\$)	Fee Description
103	18	203
102	80	202
104	270	204
109	80	209
110	18	210
SUBTOTAL (2)		(\$)
		108.00

**or number previously paid, if greater; For Reissues, see above

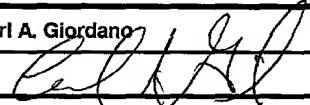
3. ADDITIONAL FEES	Fee Description	Fee Paid
105	130	205
127	50	227
139	130	139
147	2,520	147
112	920*	112
113	1,840*	113
115	110	215
116	390	216
117	890	217
118	1,390	218
128	1,890	228
119	310	219
120	310	220
121	270	221
138	1,510	138
140	110	240
141	1,240	241
142	1,240	242
143	440	243
144	600	244
122	130	122
123	50	123
126	180	126
581	40	581
146	710	246
149	710	249
179	710	279
169	900	169
Other fee (specify)		

*Reduced by Basic Filing Fee Paid

SUBTOTAL (3) (\$)

SUBMITTED BY

Complete (if applicable)

Name (Print/Type)	Carl A. Giordano	Registration No. (Attorney/Agent)	41,780	Telephone	609-919-4406
Signature				Date	May 29, 2001

WARNING: Information on this form may become public. Credit card information should not be included on this form. Provide credit card information and authorization on PTO-2038.

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"EXPRESS MAIL CERTIFICATE"

"Express Mail" mailing label number: EL857158161US

Date of Deposit: May 29, 2001

Title of Invention: HEDGE EFFECTIVENESS TEST

Inventors: YANG, Deane; KALOTAY, Andrew; DORIGAN, Michael; ABREO, Leslie

Type of Documents:

1. Utility Patent Application Transmittal;
2. Fee Transmittal;
3. Application consisting of 11 pages of specification, 5 pages of claims, 1 page of Abstract, and 4 pages of drawings;
4. Declaration and Power of Attorney;
5. Our check in the amount of \$800.00;
6. Acknowledgment Postcard; and,
7. "Express Mail" Certificate.

I hereby certify that this paper and fee are being deposited with the United States Postal Service's "Express Mail Post Office to Addressee" service under 37 CFR §1.10 on the date indicated above and is addressed to Assistant Commissioner for Patents, "Box Application," Washington, D.C. 20231.

Tammy T. Fattoross
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1903 U.S. PTO
09/866936
05/29/01